

FISCAL YEAR 2003 DEPSCoR ANNOUNCEMENT  
The Fiscal Year 2003 Department of Defense  
Experimental Program to Stimulate Competitive Research

DAAD19-02-R-0006

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## **to Stimulate Competitive Research (DEPSCoR)**

### **I. INTRODUCTION**

The Department of Defense (DoD) announces the fiscal year 2003 Department of Defense Experimental Program to Stimulate Competitive Research (DEPSCoR). The program is sponsored by the Office of the Deputy Under Secretary of Defense for Laboratories and Basic Sciences [ODUSD(LABS)] and will be administered through the Army Research Office (ARO), Office of Naval Research (ONR), Air Force Office of Scientific Research (AFOSR), and the Missile Defense Agency (MDA) with the cooperation of the Experimental Program to Stimulate Competitive Research (EPSCoR) State Committees. The DoD plans to award fiscal year 2003 DEPSCoR appropriations through this announcement. ARO, ONR, AFOSR, and MDA (henceforth referred to as "agencies") will award research grants based on this announcement. It is anticipated that the Army, Navy, and Air Force will each receive an equal portion of the FY03 funds available to support proposals accepted under this BAA. It is further anticipated that the MDA will receive an amount of funds equal to approximately one fourth of that available to the Army, Navy, or Air Force.

The program statute for DEPSCoR (section 257 of Public Law 103-337, as amended) states that DEPSCoR's objectives are to: (1) enhance the capabilities of institutions of higher education ("universities") in eligible States to develop, plan, and execute science and engineering research that is competitive under the peer-review systems used for awarding Federal research assistance; and (2) increase the probability of long-term growth in the competitively awarded financial assistance that universities in eligible States receive from the Federal Government for science and engineering research. Consistent with these long-term objectives of building research infrastructure, the DoD intends to competitively make, and fund from fiscal year 2003 appropriations, multiyear awards for research and for associated graduate education of scientists and engineers in areas important to national defense.

Only National Science Foundation (NSF) EPSCoR State Committees (see Appendix A) may submit proposal packages in response to this announcement. Universities in EPSCoR States/territories with degree granting programs in science, mathematics, and/or engineering are eligible to submit proposals for DEPSCoR research grants via their EPSCoR State Committee proposal package. Currently, universities in 20 States including Puerto Rico and the US Virgin Islands (listed below) are eligible to receive awards under this announcement.

Alabama  
Alaska  
Arkansas  
Hawaii  
Idaho  
Kansas  
Kentucky  
Maine  
Montana  
Nebraska

Nevada  
North Dakota  
Oklahoma  
South Carolina  
South Dakota  
Vermont  
West Virginia  
Wyoming  
Puerto Rico  
U.S. Virgin Islands

## II. AREAS OF INTEREST

The Army, Navy, and Air Force (Services), and the Missile Defense Agency (MDA) publish their specific research areas of interest in separate Broad Agency Announcements (BAAs). DEPSCoR research projects may address any of the technical areas listed in the Services' or MDA's BAA.

BAAs and program descriptions are available on-line at the following addresses:

U.S. Army Research Office:

<http://www.aro.army.mil> (select "Funding Opportunities")

Select BAA# DAAD19-00-R-0010, See Part I, A (Army Research Office)

The help line is available at 919-549-4375

Office of Naval Research:

<http://www.onr.navy.mil> (select "Science and Technology")

Air Force Office of Scientific Research:

<http://www.afosr.af.mil> (select "Research Opportunities")

The help line is available at 301-975-0103 from 8:30 to 5:00 p.m.

Missile Defense Agency (MDA):

<http://www.acq.osd.mil/bmdo/barbb/barbb.htm>

Proposals to perform research in listed technical areas, or other areas important to national defense, will be considered. For detailed information regarding technical goals,

potential proposers are advised to consult these announcements and to contact DoD

program managers listed therein to explore possible mutual interest before submitting proposals.

DEPSCoR may fund single investigator or multiple investigator research proposals and, to a lesser extent, center of excellence research proposals. Multiple institution or multiple investigator research projects that are not fully integrated to address one focused technical issue are not normally funded and are discouraged. Given the intent of the DEPSCoR program to build infrastructure, DEPSCoR can provide more funding for critical research-infrastructure elements than traditional, single-investigator awards. Therefore, to support the proposed research, a DEPSCoR proposal appropriately may request more funding for infrastructure elements than a single-investigator proposal. For example, funding for training graduate students and for acquiring or refurbishing instrumentation needed to conduct the proposed research are appropriate infrastructure expenditures. The awards are to be forward funded, generally for activities not to exceed a three year period. In this way, DEPSCoR contributes to the States' goals of developing new research capabilities and infrastructure while simultaneously supporting DoD research goals.

Proposals for the construction or refurbishment of buildings will not be considered under this solicitation. Administrative costs incurred by the EPSCoR State Committees, associated with either the preparation of proposals or related to the administration of grants resulting from this solicitation, are the responsibility of the EPSCoR State Committees and are nonreimbursable by DoD. State Committees are encouraged to include proposal sections from Historically Black Colleges and Universities (as determined by the Secretary of Education to meet requirements of 34 CFR Section 608.2) and from Minority Institutions (HBCU/MIs) (as defined by 10 U.S.C. § 2323 (a)(1)(C)) in their proposal packages. However, no funds are specifically allocated for HBCU/MI participation.

### III. CONDITIONS

Only EPSCoR State Committees established for the purposes of NSF's EPSCoR program may submit proposal packages in response to this announcement. Awards made as a result of this solicitation will be limited to universities in States/territories that are eligible under the DEPSCoR program authority at the time awards are announced. Currently, there are EPSCoR State Committees in 20 States including Puerto Rico and the US Virgin Islands (see Appendix A) which are eligible under the DEPSCoR program authority.

Universities in NSF EPSCoR States/territories with degree granting programs in

science, mathematics, and/or engineering may submit proposals for DEPSCoR research grants via their EPSCoR State Committee. Each State Committee will decide which

DEPSCoR proposals submitted to it will be forwarded to DoD (see limits described below). Proposals not submitted through an EPSCoR State Committee will be rejected.

Each NSF EPSCoR State Committee may submit a proposal package requesting up to **\$5 million** of support from DoD for a 36-month effort. Each proposal package may contain up to **ten (10)** separately fundable sections **requesting a minimum of \$500,000 each**. DoD may select or reject an entire State proposal package or fund only sections of a State proposal package. **To maximize the DEPSCoR program objectives, DEPSCoR awards require an annual minimum non-federal cost sharing or matching of one-to-two (i.e., at least one dollar from State, institutional, and/or private sector sources to match each two dollars of DEPSCoR support being provided).** Matching funds may support items such as salaries, indirect costs, operating expenses, or new equipment. The review process will take into account the magnitude and scope of the non-federal investment in support of the State's DEPSCoR objectives.

Sufficient funds are not available to meet all research and infrastructure needs of the universities in all DEPSCoR States. It is the responsibility of the EPSCoR State Committee to encourage, identify and submit proposal sections which are most likely to: (1) enhance the capabilities of universities to become more competitive under the peer-review systems used for awarding Federal research assistance; and (2) increase the probability of long-term growth in DoD research support for focused areas of interest within each State. Awards will be restricted to universities doing or demonstrably capable of doing research of interest to DoD. Each separately fundable section of the States' proposal packages may be for support of equipment and either a single investigator, multiple investigator, or to a lesser extent, center of excellence research proposal in a focused research area.

Although the DEPSCoR is a multi-agency program with multiple contacts for technical discussion, one DoD agency (either ARO, AFOSR, ONR, or MDA) must be listed as the "lead reviewer" of each separately fundable section of the State's proposal package. If a lead reviewer (i.e. agency) is not listed, one will be assigned. If possible, also list the specific division/directorate in the agency's organization requested to review each section (listed in the agency's BAA). The listed lead reviewer will have primary responsibility for reviewing that separately fundable section of the proposal package. It is anticipated that the Army, Navy, and Air Force will each receive an equal portion of the FY03 funds available to support proposals accepted under this BAA. It is further anticipated that the MDA will receive an amount of funds equal to approximately one fourth of that available to the Army, Navy, or Air Force. For FY02 the distribution of

proposals submitted to lead reviewers was as follows: 41% Army, 32% Navy, 24% Air Force and 3% MDA. Other agencies will review the research area of every State

proposal section to determine relevance to their research priorities. The agencies may then choose to do a full review of a section for which they are not the lead reviewer in order to determine their possible interest in funding or co-funding that section.

DEPSCoR funds may be used to enhance existing or develop new research capabilities in support of DoD research goals. Proposals may contain requests for equipment necessary for the completion of the proposed research. General-purpose computing facilities and purely instructional equipment are not appropriate for DEPSCoR funding, but requests for funding for specialized computers required for specific DEPSCoR research programs are appropriate. DoD recognizes that the infrastructure aspect of DEPSCoR may lead to the purchase of equipment that has utility beyond the specific research effort proposed. Funds under DEPSCoR may not be used for construction or modification of buildings or facilities.

#### IV. DATES

**Proposals, in the quantity and format described herein, must be received at Army Research Office (ARO) no later than 4:00 p.m. local time on October 24, 2002.**

Proposals received after the designated time and date will be handled in accordance with the procedures in the provision titled "Late Submissions and Withdrawals of Proposals" (See Appendix B). As noted therein, proposals sent by U.S. Postal Service Express Mail by September 23<sup>rd</sup>, 2002 will be accepted and considered for an award. Only NSF EPSCoR State Committees may submit proposals.

Award recommendations for FY 2003 DEPSCoR funds will be announced on or about **January 31, 2003** and will be followed up with a letter to the EPSCoR State Committees. Each Committee will be responsible for notifying all the participating institutions of higher education in its State of the award recommendations. Proposals should cite **JUNE 1, 2003 as the proposed start date.**

#### V. PROPOSALS

##### A. Proposal Submission

EPSCoR State Committees shall submit the State proposal package. Each

separately fundable section of the proposal package must bear, as a cover, Appendix C and must have a separate budget. Plastic covers (clear or otherwise) or binders shall not be used. The individual sections must be signed by appropriate university officials and

marked original. The original and nine (9) copies of the signed original must be sent to ARO at one of the following addresses:

Use this address for commercial carriers:

U.S. Army Research Office  
ATTN: AMSRL-RO-RI (02-R-0006)  
4300 South Miami Boulevard  
Durham, NC 27703-9142  
Phone # (919) 549-4207, Mr. David Seitz

Use this address for U.S. Mail:

U.S. Army Research Office  
ATTN: AMSRL-RO-RI (02-R-0006)  
P.O. Box 12211  
Research Triangle Park, NC  
27709-2211

**Please note** that proposals delivered by commercial carriers are considered "hand carried" and no exceptions can be made which allow such proposals to be considered if, **for any reason, they are received after the deadline**. Offerors are advised that some proposals responding to past announcements that were sent via commercial carriers were delayed during shipment and arrived after the deadlines, typically by one or two days. To decrease the possibility that proposals delivered by commercial carriers will arrive after the deadline and thus be ineligible to compete, offerors are encouraged to schedule delivery to occur well before the deadline date.

**Each proposal should be typed with 1 inch margins on 8-1/2 x 11 inch white paper, and with a font size not smaller than 10-12 point. Each separately fundable section should be bound or stapled separately, with no more than 25 single-sided pages, not counting the cover (Appendix C), and the budget. Separate attachments, such as brochures or reprints, will not be accepted. Proposals submitted in whole or in part by electronic media (computer disk or tape, facsimile machine, electronic mail, etc.) will not be accepted.**

**Each State proposal package should also contain two copies of an executive summary not exceeding ten (10) pages from the EPSCoR State Committee which relates the proposed research to both DoD needs and State goals for stimulating competitive research capabilities.**

#### B. Proposal Content

Each separately fundable section of the proposal package must be complete and self-contained to qualify for review.

The DoD is interested primarily in the research and related science and engineering education and the research related infrastructure development that the research facilitates. For this reason, the proposal must adequately describe the effort so that judgments can be made on relevance to DoD research goals and the infrastructure benefit.

1. Cover: **Each separately fundable section must bear Appendix C as a cover.** For each section, no other sheet or page should precede this cover. Each section of the original proposal package and each copy must include this cover. To facilitate review, the lead reviewer's Division or Directorate having a research area of interest best matching the proposed research should be listed. **The name of an individual at the lead reviewer (ARO, ONR, AFOSR, or MDA) can be included here as a suggested reviewer, or the technical area addressed by the proposal can be listed.**

2. Abstract: The abstract of the proposed research for each separately fundable section should be no more than one page. The abstract must be contained within the 25 page limit.

3. Text: The technical portion of each separately fundable section shall contain (within the 25 page limit) the following:

(a) Describe in detail the research to be undertaken. State the objectives and approach and the relationship to the state of knowledge in the field and to comparable work elsewhere. Include an appropriate bibliography and list of literature citations. Discuss the nature of the expected results.

(b) Describe how this effort relates to and advances the research infrastructure development goals of the university or the State.

(c) Describe plans for the education of graduate students in the specified research areas of interest. Estimate the number of graduate students and of other technical personnel who will be directly associated with the project.

(d) Describe plans for the involvement and interaction with DoD, other federal laboratories, industry or other existing research centers of excellence.

(e) Describe facilities available for performing the proposed research and any additional facilities or equipment that the organization proposes to acquire at its own expense.

(f) Provide a rationale for each item of equipment requested in the budget and how this equipment will contribute to the infrastructure building goals of the proposal.

(g) Identify other parties who will receive the proposal or who will partially fund the proposed effort or activity.



4. Curriculum Vitae: Furnish a brief vitae for key personnel critical to the research, including senior investigators. Provide short biographical sketches and list relevant publications. This information must be contained within the 25-page limit.

### C. Financial Content of the Proposal (Budget)

The financial portion of each separately fundable section should contain a cost estimate for the proposed effort that is sufficiently detailed by element of cost for meaningful evaluation. The budget must include the period-of-performance (with a proposed **June 1, 2003 start date**), a total estimated cost of the project, and the amount and source of project funding (i.e., funds requested from DoD, any funds provided under current grants or contracts with DoD or other federal agencies, and non-federal funds to be provided as cost sharing or matching). The estimated project costs must be shown in total as well as broken down for each year of the program to show the following cost elements:

1. Salary Costs: For all employees, indicate the amount of time being charged to this proposed project (e.g., number of months) and show resulting costs based on current or projected salary and benefits.

2. Supplies and Materials: Estimate costs of supplies and materials.

3. Equipment: Describe any equipment to be acquired and the basis of cost estimates. Costs should be based on recent quotations from manufacturers or distributors.

4. Travel Costs: Estimate the required amount of travel and state its relationship to the research. List the proposed destinations and basis of cost estimates.

5. Publication and Report Costs: Estimate the costs of publishing and reporting research results.

6. Subaward Costs: Support the estimate of subaward work by indicating the specific items or portion of the work to be subawarded, type of subaward anticipated, name of subawardee, and a detailed cost summary.

7. Consultant Costs: State the planned daily consultant fee and travel expenses, the nature of the consulting effort, and the reason consultants are required to complete the effort.

8. Communication Costs: Estimate communication costs (i.e., long distance telephone calls, telegrams, and postage) not included in overhead.

9. Other Direct Costs: Itemize other anticipated direct costs such as rental for computers and other equipment. Unusual or expensive items should be fully justified.

10. Overhead Rates: State whether or not a recent predetermined or provisional overhead rate has been negotiated by a federal agency and, if so, when and by which federal agency. Always state the basis on which the overhead rate is calculated (i.e., "salaries and wages" or "total costs") and the period of the grantee's fiscal year. Include a copy of any current indirect rate agreement or provide a URL if this document is available from the internet.

11. Total Costs: Give the total costs, year by year, and the cost for the entire proposed grant period.

12. Cost Sharing or Matching Plans: Construct a table showing the cost sharing or matching share committed to this DEPSCoR proposal section in the following categories: State, institutional, and private sector. In each category, show the amount and nature of the planned expenditure share (e.g., State appropriation, equipment, faculty release time for research, etc.). A signed statement of commitment regarding the cost sharing or matching funds described above should be obtained from the appropriate State, institutional, and/or private sector officials.

#### D. Certifications

All awards require certifications of compliance with national policy requirements. Statutes and government wide regulations require some certifications to be submitted at the time of proposal submission rather than at the time of award. Proposers, by signing and submitting a proposal with the required cover, Appendix C, are providing the certification at 32 CFR Part 25 regarding debarment, suspension, and other responsibility matters; the certification at 32 CFR Part 25 regarding drug-free workplace requirements; and the certification at 32 CFR Part 28 regarding lobbying. Full text of these certifications may be found in Appendix D.

#### E. Proposal Evaluation and Selection

Cognizant DoD technical program managers will review separately fundable sections of the States' proposal packages that are in their technical areas. Based on evaluations by DoD program managers using the seven criteria below, separately

fundable sections will be selected for funding by the participating agencies. The agencies will reconcile any overlap and coordinate complementary efforts to ensure the broadest impact with the funds available.

The primary evaluation criteria (of equal importance to each other) will be:

1. The scientific and technical merits of the proposed research.
2. The potential contributions of the proposed research to the defense missions of the participating agencies.
3. The likelihood of the proposed effort to advance the research infrastructure goals of the university or State by developing new or enhancing existing research capabilities and to broaden the university research base in support of national defense.
4. The potential to contribute to the education of future scientists and engineers in disciplines critical to the DoD mission.

Other evaluation criteria (of less importance than 1, 2, 3, and 4 but of equal importance to each other) are:

5. The qualifications, capabilities, experience, and past research accomplishments of the proposed Principal Investigator, team leader and other key personnel who are critical to achieving the objectives of the proposal.
6. The proposed involvement and interaction with DoD or other federal laboratories, industry, or other existing research centers of excellence.
7. The realism and reasonableness of cost, cost sharing or matching, and availability of funds.

## F. Awards

Each of the participating agencies will award its portion of the available DEPSCoR funds in areas important to its mission. The acquisition offices of the agencies will conduct negotiations directly with the institutions of higher education selected for award, and negotiations may result in funding levels less than that proposed in a given separately fundable section of a proposal package.

In keeping with the provisions of 31 U.S.C. 6306 and with the intent of this program to increase university infrastructure and capabilities to conduct DoD-relevant research, title to any equipment will be vested with the university.

In accordance with DOD policy, prospective grantees must be registered in the Central Contractor Registration (CCR) database prior to award of a grant. By submission of an offer resulting from this BAA, the offeror acknowledges the requirement that a prospective grantee must be registered in the CCR database prior to the award, during performance, and through final payment of any grant resulting from this BAA.

Any State which submitted a proposal package under this solicitation and was eligible to receive an award but did not receive an award may be invited to submit a planning grant application for the purpose of improving the State's ability to compete in future year DEPSCoR solicitations.

APPENDIX A: NSF EPSCoR STATE COMMITTEES  
{tc "APPENDIX A\ NSF EPSCoR STATE COMMITTEES"}

<u>State</u>	<u>Point of Contact</u>	<u>Phone No.</u>
Alabama	Daryush Ila Alabama A&M University Research Center P.O. Box 313 4900 Meridian St. Normal, AL 35762-0313	256-851-5866
Alaska	George Happ University of Alaska-Fairbanks P.O. Box 75700 Fairbanks, AK 99775-7000	907-474-5492
Arkansas	Collis Geren Dickson St. Annex Graduate School University of Arkansas Fayetteville, AR 72701	479-575-5900
Hawaii	Donald K. Price 640 North Aohoku Place #134 Hilo, HI 96720	808-933-3325
Idaho	Jean'ne M. Shreeve University of Idaho Department of Chemistry P.O. Box 442343 Moscow, ID 83844-2343	208-885-6215 or 5742
Kansas	Peter Sherwood Kansas State University Department of Chemistry 111 Willard Hall Manhattan, KS 66506-3701	785-532-6665
Kentucky	Wimberly C. Royster Kentucky Science & Technology Corporation 200 West Vine St., Suite 420 Lexington, KY 40507	859-255-3511 Ext.-225

<u>State</u>	<u>Point of Contact</u>	<u>Phone No.</u>
*Louisiana	Doris Carver Louisiana Board of Regents P.O. Box 3677 Baton Rouge, LA 70821-3677	225-342-4253
*Not currently eligible to receive awards under this FY 2003 BAA		
Maine	Kerri-Ann Jones Maine Science & Technology Foundation 20 Free Street Portland, ME 04101	207-772-9241 Ext.-7
*Mississippi	Jonathan Pote Mississippi State University P.O. Box 6343 Mississippi State, MS 39762	662-325-3570
*Not currently eligible to receive awards under this FY 2003 BAA		
Montana	Keith E. Cooksey Montana State University 109 Lewis Hall Bozeman, MT 59717	406-994-6136
Nebraska	Royce Ballinger Nebraska EPSCoR University of Nebraska - Lincoln 203 Whittier Building Lincoln, NB 68583-0848	402-472-8946
*New Mexico	James Gosz Biology Department University of New Mexico Albuquerque, NM 87131	505-277-2265

\*Not currently eligible to receive awards under this FY 2003 BAA

<u>State</u>	<u>Point of Contact</u>	<u>Phone No.</u>
Nevada	Lisa Zumpft 755 East Flamingo Road Las Vegas, NV 89119 –7363	702-895-0590
North Dakota	Mark Sheridan North Dakota State University 124 Research Tech Park Fargo, ND 58105	701-231-8400
Oklahoma	Frank Waxman Director, Oklahoma EPSCoR 655 Research Parkway, Suite 200 Oklahoma City, OK 73104	405-225-9459
South Carolina	Scott Little State EPSCoR Director P.O. Box 11526 Columbia, SC 29211	803-376-4940
South Dakota	James Rice South Dakota State University Department of Chemistry and Biochemistry Box 2202 Brookings, SD 57007-0896	605-688-4252
Vermont	Christopher Allen University of Vermont 131 Cook Building Burlington, VT 05405	802-656-0193
West Virginia	Edwin Rood West Virginia University Research Office P.O. Box 6216 886 Chestnut Ridge Road Morgantown, WV 26506-6216	304-293-8274
Wyoming	William A. Gern University of Wyoming Office of Research, Box 3355 Laramie, WY 82071	307-766-5353

<u>State</u>	<u>Point of Contact</u>	<u>Phone No.</u>
Puerto Rico	Brad R. Weiner University of Puerto Rico, Rio Piedras Resource Center for Science & Engineering P.O. Box 23334 San Juan, PR 00931-3334	787-764-8369
US Virgin Islands	Henry H. Smith University of the Virgin Islands 2 John Brewer's Bay Saint Thomas, VI 00802-9990	340-693-1062



- (1) Offeror is responsible for submitting proposal so as to reach the Government office at the stated address by the date and time specified in the broad agency announcement. Any proposal arriving at the designated Government office after the deadline is "late" and will not be considered for an award, except for the following:
  - (a) There is acceptable evidence that a properly addressed proposal was delivered to the designated Government agency by the deadline;or
  - (b) The proposal was sent by U.S. Postal Service Express Mail by September 23<sup>rd</sup>, 2002.
- (2) In case the operation of the designated Government office is interrupted and the office is unable to receive the proposal, the deadline is extended to the same time of the first day when the office is in operation.
- (3 ) Proposals may be withdrawn by written notice received at any time before award. Withdrawals are effective upon receipt of notice by the Grant Officer.

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APPENDIX C: PROPOSAL COVER

(This Form Must be Completed and Submitted With Each Separately Fundable Section of a State's Proposal.)

Submitted to the Defense Experimental Program to Stimulate  
Competitive Research (DEPSCoR), Fiscal Year 2003, DAAD19-02-R-0006

1. THE PRINCIPAL INVESTIGATOR (only one name):

(Title)	(First Name)	(MI)	(Last Name)	(Area Code & Phone No.)
(Department/Division)			Fax No.	
(University)			E-mail Address	
(Street Address/P.O. Box)				
(City)		(State)	(Zip Code)	

CURRENT DoD CONTRACTOR OR GRANTEE? YES NO

If yes, give Agency, Technical Point of Contact, and Phone Number.

2. THE PROPOSAL:

(Title of Proposal Section - Please be brief and descriptive, use key words suitable for indexing and retrieval, and avoid acronyms and mathematical or scientific notation.)

Total Funds Requested From DoD	Period-of-Performance (06/01/03 - mm/dd/yy)	Your Institution's Proposal Number
Lead Reviewer: <u>Agency</u> (check one)	Division/Directorate	Technical Area/Program Officer
MDA _____	_____	_____
ARO _____	_____	_____
ONR _____	_____	_____
AFOSR _____	_____	_____

OTHER AGENCIES RECEIVING THIS REQUEST (e.g., NSF, DoE, NASA, or NIH).  
Please identify Agency(ies) and give Name(s) and Phone Number(s) of Point(s) of  
Contact:

3. CERTIFICATIONS: By signing and submitting this proposal, the proposer is  
providing the certifications set forth at Appendix A to 32 CFR Part 25 regarding  
debarment, suspension, and other responsibility matters; Appendix C to 32 CFR Part 25

regarding drug free workplace requirements; and Appendix A to 32 CFR Part 28 regarding lobbying. The full text of these certifications may be found in Appendix D.

4. MINORITY INSTITUTIONS: \_\_\_\_\_ Check here if the academic institution named above is qualified to be identified by the Department of Education as a minority institution (i.e., a historically Black college or university, Hispanic-serving institution, Tribal college or university, or other institution meeting statutorily-defined criteria for serving ethnic groups that are underrepresented in science and engineering). The Department of Education maintains a list of U.S. accredited postsecondary institutions that currently meet the statutory criteria for identification as minority institutions at the following web site: <http://www.ed.gov/offices/OCR/minorityinst.html>

5. APPROVALS BY OTHER UNIVERSITY OFFICIALS: Use this space for names, titles, and signatures of other officials approving the submission of this proposal (i.e., the Principal Investigator and Department Head, Dean or other officials).

_____ (Principal Investigator)	_____ (Date)
_____ (Other Official)	_____ (Date)
_____ (Other Official)	_____ (Date)

6. THE INSTITUTION:

SIGNATURE AND TYPED NAME AND ADDRESS OF UNIVERSITY  
OFFICIAL AUTHORIZED TO OBLIGATE CONTRACTUALLY:

_____ (Signature - Please Use Blue Ink)				_____ (Date)
_____ (Title)	_____ (First Name)	_____ (MI)	_____ (Last Name)	_____ (Area Code & Phone No.)
_____ Legal Name of Grantee (University)				_____ Fax No.
_____ Street Address (P.O. Box Numbers Cannot Be Accepted)				_____ E-mail Address
_____ (City)		_____ (State)		_____ (Zip Code)
Taxpayer Identification No. (TIN) _____				DUNS No. _____
Cage Code No. _____				

APPENDIX D: CERTIFICATIONS--EDUCATIONAL/NONPROFIT  
INSTITUTIONS

## **A. CERTIFICATION REGARDING LOBBYING**

This certification is required for an award of a Federal contract, grant, or cooperative agreement exceeding \$100,000 and for an award of a Federal loan or a commitment providing for the United States to insure or guarantee a loan exceeding \$150,000.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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## **B. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS--PRIMARY COVERED TRANSACTIONS**

(1) The prospective primary participant certifies, to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

### **C. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

A. The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

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(b) Establishing an on-going drug-free awareness program to inform employees about--

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy to maintain a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will--

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grants officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted--

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

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(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant: Place of Performance (street address, city, county, state, zip code). Unless identified otherwise, location is as shown in Section 1 of Appendix C (cover page)